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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/076,948	02/19/2002	John M. Haltmeyer	HALTMEYER-PA-2	3414
24932 7590 10/14/2008 LAUBSCHER & LAUBSCHER, P.C. 1160 SPA ROAD SUITE 2B ANNAPOLIS, MD 21403				
EXAMINER ALMEIDA, DEVINE				
ART UNIT 2432		PAPER NUMBER		
NOTIFICATION DATE 10/14/2008		DELIVERY MODE ELECTRONIC		

Please find below and/or attached an Office communication concerning this application or proceeding.

The time period for reply, if any, is set in the attached communication.

Notice of the Office communication was sent electronically on above-indicated "Notification Date" to the following e-mail address(es):

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Office Action Summary

Application No.

10/076,948

Applicant(s)

HALTMEYER, JOHN M.

Examiner

DEVIN ALMEIDA

Art Unit

2432

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --
Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 7/30/2008.
- 2a) ☒ This action is **FINAL**. 2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-9 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-9 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on _____ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
 2. ☐ Certified copies of the priority documents have been received in Application No. _____.
 3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- 1) ☐ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☐ Information Disclosure Statement(s) (PTO/SF/ICE)
Paper No(s)/Mail Date _____
- 4) ☐ Interview Summary (PTO-413)
Paper No(s)/Mail Date _____
- 5) ☐ Notice of Informal Patent Application
- 6) ☐ Other: _____

DETAILED ACTION

This action is in response to the papers filed 5/31/2007. Claims 1-9 were received for consideration.

Response to Arguments

Applicant's arguments with respect to Winneg not disclosing "a multi-user system" have been fully considered but they are not persuasive. Winneg clearly discloses a multi-user system in column 4 lines 8-18 workstation of a computer lab.

Applicant's arguments with respect to Winneg not disclosing "automatically using a security executable to create a list of authorized operations for said computer user when the computer user logs on to the multi-user system" have been fully considered but they are not persuasive. Winneg clearly discloses in column 3 line 58 – column 4 line 3 that the security executable is always running on the computer but only when the user invokes an application that needs security. The computer "prior to execution of the application, such method and system may terminate any unauthorized processes executing (i.e., running) on the computer system, and may configure the application such that unauthorized content cannot be accessed, including configuring the application such that unauthorized processes cannot be initiated (i.e., launched) by the application. Further, such system and method may terminate any unauthorized processes detected during execution of the application, and, prior to execution of the first application, may disable any functions of the computer system that are capable of accessing unauthorized content, including disabling any functions capable of initiating processes on the computer system.

Claim Rejections - 35 USC § 102

The text of those sections of Title 35, U.S. Code not included in this action can be found in a prior Office action.

Claim 1-4 and 6-9 are rejected under 35 U.S.C. 102(e) as being anticipated by Winneg et al (US 7,165,269).

With respect to claim 1, a process for restricting unauthorized operations by a computer user in a multi-user system, comprising the steps of: using a security executable to create a list of authorized operations for said computer user when the computer user logs on to the multi-user system (see column 18 lines 47-56); attaching a hook function to all new processes (see column 12 lines 43-59); employing the hook function whenever a new application is started to send a message to the security executable (see column 12 lines 43 column 13 line 2), said message including a process id and path of the new application (see "SetWindowsHookEx" reference, Dietmoday inherent in windows to SetWindowsHookEX function parameter dwThreadId); receiving said message from the hook function at the security executable and correlating to said list to determine whether the new application is authorized or not (see figure 10 and column 19 lines 10-16); answering the message by the security executable when the new application is authorized to indicate so (see column 13 lines 3-20); stopping the new application when the new application is not authorized (see column 19 lines 53-57).

With respect to claim 2, a software system for restricting unauthorized operations by a computer user in a multi-user system, comprising:

a first program module, comprises is a hook procedure, for automatically attaching to all new processes and for querying an ID of each said new process when the computer user logs on to the multi-user system (see column 12 lines 43-59);

a second program module in communication with said first program module, said second program module using a security executable to build building a list of allowed applications (see column 18 lines 47-56), retrieving retrieve the ID of each new process from said first program module (see figure 10 and column 19 lines 10-16), and terminate each new process not identified on said list of allowed applications (see column 19 lines 53-57).

With respect to claim 3, wherein said first program module is executable in user mode (see column 12 lines 43-59).

With respect to claim 4, wherein said first program module is attached to said new processes by tying into the USER32 using the system dynamic link library (see column 13 lines 21-29).

With respect to claim 6, wherein said first program module communicates with said second program module by sending a message with the process ID and path of the process being examined (see column 12 lines 43 column 13 line 2).

With respect to claim 7, wherein said second program module communicates with said first program module when said process is authorized by answering said message with an indication that said process is authorized (see column 13 lines 3-20).

With respect to claim 8, wherein said second program module automatically terminates said process when not authorized (see column 19 lines 53-57).

With respect to claim 9, comprising the steps of: using a security executable to create and maintain a list of authorized processes and IDs for each computer user when the computer logs on to the network (see column 18 lines 47-56); attaching a hook function to all new processes (see column 12 lines 43-59); monitoring all new processes that are started with the hook function and determining a process ID thereof (see figure 10 and column 18 line 27 – column 19 line 57); receiving said process ID from the hook function by the security executable (see “SetWindowsHookEx” reference, Dietmody inherent in windows to SetWindowsHookEX function parameter dwThreadId); determining whether the process ID of each started process is on said list (see column 13 lines 3-20); allowing said process to continue when its process ID is on the list (see column 13 lines 3-20); terminating said process when its ID is not on the list (see column 19 lines 53-57).

Conclusion

THIS ACTION IS MADE FINAL. Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the

shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the mailing date of this final action.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Devin Almeida whose telephone number is 571-270-1018. The examiner can normally be reached on Monday-Thursday from 7:30 A.M. to 6:00 P.M.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Gilberto Barron, can be reached on 571-272-3799. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system.

/Devin Almeida/
Examiner, Art Unit 2432
10/01/2008

/Gilberto Barron Jr/
Supervisory Patent Examiner, Art Unit 2432